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PTO/SB/05 (11-00)  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	MR2863-8
First Inventor	MIN-SHENG LIU, ET AL.
Title	FIN-TUBE HEAT EXCHANGER WITH VORTEX GENERATOR
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 13]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
- Oath or Declaration [Total Pages 3]
- a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney,
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label			or	<input checked="" type="checkbox"/> Correspondence address below
Name	Morton J. Rosenberg, Esq. PATENT TRADEMARK OFFICE			
	Rosenberg, Klein & Lee			
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Name (Print/Type)	Morton J. Rosenberg	Registration No. (Attorney/Agent)	26,049
Signature		Date	26 Dec. 2000

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# FEE TRANSMITTAL

## for FY 2001

Patent fees are subject to annual revision.

### Complete if Known

Application Number	
Filing Date	
First Named Inventor	MIN-SHENG LIU, ET AL.
Examiner Name	
Group Art Unit	
Attorney Docket No.	MR2863-8

TOTAL AMOUNT OF PAYMENT (\$ ) 822.00

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge deficiencies of fees and credit any overpayments to:
- Deposit Account Number **18-2011**
- Deposit Account Name **Rosenberg, Klein & Lee**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

### 2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 710 201 355			Utility filing fee	\$ 710
106 320 206 160			Design filing fee	
107 490 207 245			Plant filing fee	
108 710 208 355			Reissue filing fee	
114 150 214 75			Provisional filing fee	
SUBTOTAL (1) (\$ )				\$ 710

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20** = 4	X 18	= 72
2	-3** = 0	X 80	= -
Multiple Dependent		270	= -

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9			Claims in excess of 20
102 80 202 40			Independent claims in excess of 3
104 270 204 135			Multiple dependent claim, if not paid
109 80 209 40			** Reissue independent claims over original patent
110 18 210 9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 72.00

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65				Surcharge - late filing fee or oath	
127 50 227 25				Surcharge - late provisional filing fee or cover sheet	
139 130 139 130				Non-English specification	
147 2,520 147 2,520				For filing a request for ex parte reexamination	
112 920* 112 920*				Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*				Requesting publication of SIR after Examiner action	
115 110 215 55				Extension for reply within first month	
116 390 216 195				Extension for reply within second month	
117 890 217 445				Extension for reply within third month	
118 1,390 218 695				Extension for reply within fourth month	
128 1,890 228 945				Extension for reply within fifth month	
119 310 219 155				Notice of Appeal	
120 310 220 155				Filing a brief in support of an appeal	
121 270 221 135				Request for oral hearing	
138 1,510 138 1,510				Petition to institute a public use proceeding	
140 110 240 55				Petition to revive - unavoidable	
141 1,240 241 620				Petition to revive - unintentional	
142 1,240 242 620				Utility issue fee (or reissue)	
143 440 243 220				Design issue fee	
144 600 244 300				Plant issue fee	
122 130 122 130				Petitions to the Commissioner	
123 130 123 130				Petitions related to provisional applications	
126 180 126 180				Submission of Information Disclosure Stmt	
581 40 581 40				Recording each patent assignment per property (times number of properties)	40.00
146 710 246 355				Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710 249 355				For each additional invention to be examined (37 CFR § 1.129(b))	
179 710 279 355				Request for Continued Examination (RCE)	
169 900 169 900				Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3) (\$ )					40.00

\*Reduced by Basic Filing Fee Paid

### SUBMITTED BY

Name (Print/Type)

Morton J. Rosenberg

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26,049

### Complete (if applicable)

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410-465-6678

Signature

Morton J. Rosenberg

Date

26 Dec 2000

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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